

Response to Notice to File Missing Parts  
of Application - Filing Date Granted  
Copy of USPTO's Notice to File Missing Parts  
Declaration and Power of Attorney, Assignment and  
PLEASE STAMP & RETURN TO US Transmittal  
Sheet

in re application of: Kai Cieleibak et al.  
For: PORTFOLIO THEORY METHOD OF MANAGING OPERATIONAL RISK  
WITH RESPECT TO NETWORK SERVICE LEVEL AGREEMENTS  
Serial No 09/699,262; Docket No.:                      Atty.: DWC  
Received in the U.S. Patent & Trademark Office: CH919990038US1  
No. of pages of specification           : No. of pages of claims             
No. of sheets of drawings:             
Declaration is attached to specification..  
All fees are charged to our Account No. 09-0468

Atty. Docket No. CH919990038US1

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Kai Cieleibak et al.

Group No.: 2161

Filed: October 27, 2000

Box Missing Parts

Serial No.: 09/699,262

For: PORTFOLIO THEORY METHOD OF MANAGING  
OPERATIONAL RISK WITH RESPECT TO NETWORK  
SERVICE-LEVEL AGREEMENTS

Assistant Commissioner for Patents  
Washington, D.C. 20231

**CERTIFICATE OF MAILING UNDER 37 CFR 1.53(b)**

I hereby certify that the following attached correspondence comprising:

Response to Notice to File Missing Parts of Application -

Filing date Granted

Copy of USPTO's Notice to File Missing Parts of Nonprovisional Application

Declaration and Power of Attorney

Assignment

Assignment Transmittal Sheet

Self-addressed Postcard

is being deposited with the United States Postal Service as first class mail in an envelope  
addressed to:

**Assistant Commissioner for Patents****Washington, D.C. 20231**

on February 1, 2001.

\_\_\_\_\_  
Lucille Fourgeot

(Name of person mailing paper or fee)

\_\_\_\_\_  
*Lucille Fourgeot*  
(Signature of person mailing paper or fee)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Kai Cieleibak et al.

Date: February 1, 2001

Serial No.: 09/699,262

Group Art Unit: 2161

Filed: October 27, 2000

Box Missing Parts

For: PORTFOLIO THEORY METHOD OF  
MANAGING OPERATIONAL RISK  
WITH RESPECT TO NETWORK  
SERVICE-LEVEL AGREEMENTS

**NOTICE TO FILE MISSING PARTS OF  
APPLICATION - FILING DATE GRANTED**

To the Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application - filing date granted, mailed January 10, 2000, copy attached, enclosed for filing is a Declaration and Power of Attorney signed by the inventors for the above-identified patent application.

Also attached for filing is an Assignment of the invention to the International Business Machines Corporation for the above-identified patent application.

The commissioner is hereby authorized to charge Deposit Account 09-0469 \$170.00 in payment of the following fees associated with this communication, including any readjustment thereof. A duplicate copy of this sheet is enclosed.

\$130.00 SURCHARGE FEE FOR FILING MISSING PARTS

40.00 FEE FOR FILING ASSIGNMENT

\$170.00 TOTAL

Respectfully submitted,

by 

Douglas W. Cameron  
Attorney for Applicants  
Reg. No. 31,596  
Tel. (914) 945-3244

IBM Thomas J. Watson Research Center  
P. O. Box 218 - 39-254  
Yorktown Heights, N.Y. 10598

CH919990038US1



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/699,262	10/27/2000	Kai Cieleibak	CH919990038US1

DUC

IBM CORPORATION  
INTELLECTUAL PROPERTY LAW DEPT.  
P.O. BOX 218  
YORKTOWN HEIGHTS, NY 10598

## FORMALITIES LETTER



\*OC000000005645928\*

Date Mailed: 12/29/2000

Due 2/28/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice MUST be returned with the reply.*

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

IBM  
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INTELLECTUAL PROPERTY  
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2001 JAN 11 AM 9:43



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/699,262	10/27/2000	Kai Cieleibak	CH919990038US1

CONFIRMATION NO. 7389

## FORMALITIES LETTER



\*OC000000006015597\*

DWC  
IBM CORPORATION  
INTELLECTUAL PROPERTY LAW DEPT.  
P.O. BOX 218  
YORKTOWN HEIGHTS, NY 10598

Date Mailed: 04/30/2001

Due 2/28/2001

## NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)

## Filing Date Granted

The U.S. Patent and Trademark Office has received your reply on 02/05/2001 to the Notice to File Missing Parts (Notice) mailed 12/29/2000 and it has been entered into the nonprovisional application. The reply, however, does not include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application.

- The oath or declaration is unsigned.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

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2001 MAY -8 AM 9:42  
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